

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of)	Attorney Docket No.: ASAIN0189
)	
Tomoyuki WATANABE et al.)	Confirmation No.: Unassigned
)	
Serial No.: Unassigned)	Group Art Unit: Unassigned
)	
Filed: September 15, 2006)	Examiner: Unassigned
)	
For: METHOD FOR MANUFACTURING)	Date: September 15, 2006
SEMICONDUCTOR DEVICE)	

INFORMATION DISCLOSURE STATEMENT

Mail Stop: PCT

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Randolph Building
401 Dulany Street
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Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, this Information Disclosure Statement in connection with the above-identified application is being filed in accordance with 37 C.F.R. §1.97(b):

- ☐ within three months of the filing date of this application (not a C.P.A.);
- ☒ within three months of the date of entry of the National Stage;
- ☐ before the mailing date of a first Office Action on the merits; or
- ☐ before the mailing of a first Office Action on the merits of, after the filing of a Request for Continued Examination (RCE) under §1.114.

A copy of each non-U.S. document identified on the attached Forms PTO/SB/08A and PTO/SB/08B is attached, however, in accordance with Official Gazette Notice dated August 5, 2003, copies of the U.S. patents and patent application publications are not attached.

Foreign Patent Document 1 relates to a flattening method for insulating film of semiconductor device. Document 2 relates to the manufacture of a semiconductor device. Their relevance is believed to be clear from the specification of the present application. Accordingly, no further comment with regard to the disclosures of these documents is believed to be required.


Also attached is a copy of the Search Report issued in the corresponding International application. Since all of the remaining documents cited herein were cited in said Search Report, it is believed that the relevancy of each document cited is clear from the Search Report. Accordingly, no further comment with regard to the disclosures of these documents is believed to be required.

It is respectfully requested that the attached documents be considered and officially cited, and that the Examiner initial a copy of Forms PTO/SB/08A and PTO/SB/08B, and return them to the undersigned to indicate that the documents have been considered.

It is believed that the present Information Disclosure Statement complies with the requirements of 37 C.F.R. §§ 1.97-8, but should the filing of this paper necessitate a fee, the Director is hereby authorized to charge the necessary fee to Deposit Account No. 50-1281.

Respectfully submitted,

GRIFFIN & SZIPL, PC



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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		
	Filing Date		
	First Named Inventor	Tomoyuki WATANABE	
	Art Unit		
	Examiner Name		
	Attorney Docket Number	ASAIN0189	

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	1	05-067607	JP		1993-03-19	Mitsubishi Electric Corp.		<input checked="" type="checkbox"/>
	2	10-275805	JP		1998-10-13	NEC Corp.		<input checked="" type="checkbox"/>
	3	62-252950	JP		1987-11-04	Matsushita Electric Ind. Co., Ltd.		<input checked="" type="checkbox"/>

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		
	Filing Date		
	First Named Inventor	Tomoyuki WATANABE	
	Art Unit		
	Examiner Name		
	Attorney Docket Number	ASAIN0189	

	4	2004-047624	JP		2004-02-12	Renesas Technology Corp.		<input checked="" type="checkbox"/>
	5	58-168259	JP		1983-10-04	Nippon Telegr & Teleph Corp (NTT)		<input checked="" type="checkbox"/>
	6	2000-306992	JP		2000-11-02	NEC Corp.		<input checked="" type="checkbox"/>

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	International Search Report issued in corresponding application no. PCT/JP2004/007375, completed August 18, 2004 and mailed September 7, 2004	<input type="checkbox"/>

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EXAMINER SIGNATURE

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	
Filing Date	
First Named Inventor	Tomoyuki WATANABE
Art Unit	
Examiner Name	
Attorney Docket Number	ASAIN0189

CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached certification statement.

☐ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

☒ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Joerg-Uwe Szipl/	Date (YYYY-MM-DD)	2006-09-15
Name/Print	Joerg-Uwe Szipl	Registration Number	31799

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
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